

~~SECRET~~
#3



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Kazuhiro KAWABATA

Serial No.: 09/785,529

Filed: February 20, 2001

For: SYSTEM AND METHOD FOR RECORDING/OUTPUTTING
PERSONAL IMAGE INFORMATION

581 B
101 B
105
139

SUBMISSION OF ORIGINAL EXECUTED APPLICATION

Commissioner for Patents
Box Missing Parts
Washington, D. C. 20231

Sir:

The above identified application was duly filed on February 20, 2001, in the Japanese language. Accordingly, submitted herewith is a Verified English-language Translation of the application. Also, submitted herewith is a fully executed Declaration and Assignment of the inventors. Attached is our check for \$1,090.00, which includes \$130.00 to cover the payment of the fee in accordance with 37 CFR 1.17(i), \$130.00 to cover the payment of the fee in accordance with 37 CFR 1.16(e), \$40.00 to cover the fee for recordation of the Assignment document, and the remainder to cover the full filing fees.

PLEASE ACCEPT THIS AS
AUTHORIZATION TO DEBIT
OR CREDIT FEES TO
DEB ACCT. 16-0331
PARSONS & WELNDEL

Entry of these documents should complete all of the filing formalities, and fully satisfy the Notice mailed April 11, 2001. Accordingly, examination and allowance of the application in due course are respectfully solicited.

The Commissioner is hereby authorized to charge any additional fee (or credit any overpayment) associated with this communication to Deposit Account No. 16-0331. Two duplicate copies of this letter are attached.

Respectfully submitted,

PARKHURST & WENDEL, L.L.P.

June 7, 2001

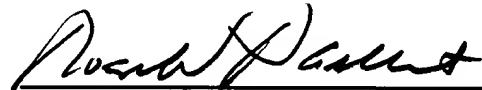
Date

RWP/jck

Attorney Docket No. DAIN:577

PARKHURST & WENDEL, L.L.P.
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Alexandria, Virginia 22314-2805
Telephone: (703) 739-0220

(rev. 4/01)



Roger W. Parkhurst

Registration No. 25,177



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LETTER TO THE OFFICIAL DRAFTSPERSON

Commissioner for Patents
Washington, D. C. 20231

Sir:


Please substitute the attached thirteen (13) sheets of formal drawings depicting Figures 1-15 for Figures 1-15 originally filed with the application.

Respectfully submitted,

PARKHURST & WENDEL, L.L.P.

June 7, 2001
Date

RWP/jck



Roger W. Parkhurst
Registration No. 25,177

Attorney Docket No. DAIN:577

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Telephone: (703) 739-0220



COMMISSIONER FOR PATENTS
PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/785,529	02/20/2001	Kazuhiro Kawabata	DAIN 577

THE UNIVERSITY OF CHICAGO

Date Mailed: 04/11/2001

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(i), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- **The balance due by applicant is \$ 970.**
- Because your specification was filed in a language other than English, the Office was unable to determine the number of claims submitted. Additional claim fees may be due once the number of claims can be determined.

The application is informal since it does not comply with the regulations for the reason(s) indicated below:

The required item(s) identified below must be timely submitted to avoid abandonment:

07/25/2001 888LEEKU 00000009 09785529

- 01-75-102 • Substitute drawing in compliance with 37 CFR 1.84 because:

~~CONFIDENTIAL~~ 07/25/2001 SSA/FEK/

04-75493 00000000 07720 drawing figures contain text that is not in English (including, for example, a flow chart) that was originally not in English that has been marked up to include the

00000060 0485529

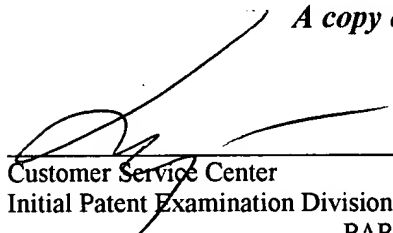
06/08/2001 ANAST11

710.00 DP
130.00 DP
130.00 DP
~~90.00 DP~~

01 FC:101
02 FC:105
03 FC:139
04 FC:100

English text) see 37 CFR 1.84(p)(2) and 37 CFR 1.52(d)(1);

A copy of this notice MUST be returned with the reply.



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of
Kazuhiro KAWABATA

ATTN: Application Processing Div.
Customer Correction Branch

Serial No.: 09/785,529

Filed: February 20, 2001

For: SYSTEM AND METHOD FOR RECORDING/OUTPUTTING
PERSONAL IMAGE INFORMATION

REQUEST FOR CORRECTED FILING RECEIPT

Commissioner for Patents
Washington, D. C. 20231

Sir:

A corrected filing receipt is hereby requested in view of the error which appears in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the errors have been noted in red.

Respectfully submitted,

PARKHURST & WENDEL, L.L.P.

June 7, 2001
Date

Attorney Docket No. DAIN:577

PARKHURST & WENDEL, L.L.P.
1421 Prince Street, Suite 210
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Roger W. Parkhurst
Registration No. 25,177



UNITED STATES PATENT AND TRADEMARK OFFICE



Page 1 of 4

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/785,529	02/20/2001		0.00	DAIN 577	13	14	14

PARKHURST & WENDEL, L.L.P.
1421 Prince Street, Suite 210
Alexandria, VA 22314-2805

APR 16 2001

CONFIRMATION NO. 5187

FILING RECEIPT



OC000000005955808

Date Mailed: 04/11/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Kazuhiro Kawabata, Tokyo-To, JAPAN;

Domestic Priority data as claimed by applicant

Foreign Applications JP 2000-42654 02/21/00
JP 2000-42656 02/21/00

If Required, Foreign Filing License Granted 04/10/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

Title

recording/outputting
System and method for recording personal image information

Preliminary Class

Data entry by : LUONG, CHI-KIEN

Team : OIPE

Date: 04/11/2001

[REDACTED]

1234567890

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231